

Attorney Docket No. 3599 P 010

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

STATEMENT UNDER 37 C.F.R. § 3.73(b)Applicant/Patent Owner: Richard SYMS

Application No./Patent No.: _____ Filed/Issue Date: _____

Entitled: MONOLITHIC MICRO-ENGINEERED MASS SPECTROMETERMICROSAIC SYSTEMS LIMITED, a British limited company
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____ Frame _____ or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents on the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 C.F.R. Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

13th JANUARY 2005

Date

+44 1483 751 577

Telephone number

ALAN FINLAY

Typed or printed name

Alan Finlay

Signature

CEO

Title

216831v1

BEST AVAILABLE COPY

International Application No. PCT/EP2003/008354 29 July 2003

Attorney Docket No. 3599 P 010

ATTACHMENT

20. Other items (continued)

2-page facsimile-executed Declaration by Inventor Richard SYMS

copy of one-page Assignment executed by Inventor Richard SYMS (for information purposes)

2-page facsimile-executed Power of Attorney by Officer of Assignee

one-page facsimile-executed Statement Under 37 CFR § 3.73(b)

International Preliminary Examination Report

Attorney Docket No. 3599 P 010

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Richard SYMS
Application No.:
Confirmation No.:
Filed On:

Examiner:

Art Unit:

For: MONOLITHIC MICRO-ENGINEERED MASS
SPECTROMETER

POWER OF ATTORNEY

I hereby appoint:

Practitioners associated with the Customer Number 23424 as my attorney(s) or agent(s) to prosecute the application identified above and to transact all business in the United States Patent and Trademark Office connected therewith.

- ☒ Please send correspondence and direct telephone calls for the above-identified application to the address associated with the above-identified Customer Number, and specifically to the individual listed below:

Name: Monique A. Morneau

OR

Please change the correspondence address for the above-identified application to:

- ☐ the address associated with Customer Number

OR

- ☐ Firm or Individual Name:

Address:

Address:

City:

State:

Zip:

Country:

Telephone:

Fax:

I am the:

- ☐ Applicant/Inventor.
☒ Assignee of record of the entire interest. See 37 C.F.R. § 3.71
Statement under 37 C.F.R. § 3.73(b) is enclosed

SIGNATURE of Applicant or Assignee of Record

Name: ALAN FINLAY

Signature: Al Finlay

Date: 13th January 2005 Phone: +44 751 577

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.*

☐ *Total of _____ forms are submitted.
216820v1

I hereby claim foreign priority benefits under 35 U.S.C. § 119(e) of any United States Provisional application(s) listed below:

| Application Number(s) | Filing Date |
|-----------------------|-------------|
| | |
| | |

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States, as listed below, and insofar as the subject matter of each of the Claims of this Application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

| Country | Application Number(s) | Filing Date | Status |
|---------|-----------------------|--------------|---------|
| PCT | PCT/EP2003/008354 | 29 July 2003 | pending |
| | | | |

I hereby declare that all statements made herein of my knowledge are true; all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001, and may jeopardize the validity of the application or any patent issuing thereon.

The attorneys of record in said application for patent are hereby authorized and requested by the undersigned to insert in this Declaration the date and application number thereof in the places provided therefor.

WJ
Name of Sole or First Inventor: Richard SYMS
Inventor's Signature and Date: *R. R. A. Syms* Date: 13.01.05
Residential Street Address: 59 Woodstock Avenue
City and State/Province: London
Country and Zip/Postal Code: United Kingdom W13 9UQ *CBV*
Citizenship: United Kingdom
Mailing Address: Same As Above

☐ Additional inventors or a legal representative are being named on ____ additional form(s) attached hereto.

216825v1

Attorney Docket No. 3599 P 008
Declaration

2

BEST AVAILABLE COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

DECLARATION

| | |
|---------------------|--|
| Inventor(s): | Richard SYMS |
| Application Number: | |
| Filing Date: | |
| Entitled: | MONOLITHIC MICRO-ENGINEERED MASS SPECTROMETER |

As the below-named inventor, I declare that:

The inventor's residence, mailing address, and citizenship is as stated below next to his name(s).

I believe that I am the original, first, and sole inventor(s) of the subject matter that is claimed and for which a patent is sought on the invention entitled:

MONOLITHIC MICRO-ENGINEERED MASS SPECTROMETER

the specification of which is attached hereto.

I have reviewed and understand the contents of the above-identified application, including the claims.

I acknowledge the duty to disclose to the United States Patent and Trademark Office information that is material to patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §§ 119(a)-(d) or (f), or § 365(b) of any foreign application(s) for patent or inventor's rights certificate(s), or § 365(a) of any PCT international application that designated at least one country other than the United States of America, listed below and have also identified below by checking the box corresponding to any foreign application for patent, inventor's rights certificate(s), or corresponding to any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date | Priority Claimed Yes |
|-------------------------------------|---------------|---------------------|-------------------------------------|
| 0217815.0 | Great Britain | 1 August 2002 | <input checked="" type="checkbox"/> |
| PCT/EP2003/008354 | PCT | 29 July 2003 | <input checked="" type="checkbox"/> |

ASSIGNMENT

Application No. _____

Filing Date: _____

IN CONSIDERATION of good and valuable considerations, the receipt of which is hereby acknowledged, the entire right, title and interest in the invention or improvements of the undersigned in a "**MONOLITHIC MICRO-ENGINEERED MASS SPECTROMETER**" and in the application for Letters Patent of the United States therefor, executed by the undersigned concurrently herewith and in any reissue or extension of any Letters Patent that may be granted upon said application are hereby assigned by the undersigned to MICROSAIC SYSTEMS LIMITED, a British company, and the successors, legal representatives and assigns of MICROSAIC SYSTEMS LIMITED, (hereinafter collectively called said Assignee), and the Commissioner of Patents is hereby authorized and requested by the undersigned to issue said Letters Patent to said Assignee.

FOR SAID CONSIDERATIONS it is hereby agreed by the undersigned, upon the request of said Assignee, to execute any necessary and proper oaths or affidavits relating to said application or required for the filing or prosecution of any divisional, continuation or continuation-in-part application thereof or for the filing or prosecution of any application for the reissue or extension of any Letters Patent that may be granted on said invention or improvements that said Assignee may deem necessary or expedient, and for the said consideration it is further agreed by the undersigned, upon the request of said Assignee, in the event of said application or any division thereof, or Letters Patent issued thereon, or any reissue or application for the reissue thereof, becoming involved in interference, to cooperate to the best of the ability of the undersigned with said Assignee in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof, and further to perform, upon such request, any and all affirmative acts to obtain said Letters Patent and vest all rights therein hereby conveyed in the said Assignee as fully and entirely as the same would have been held and enjoyed by the undersigned if this Assignment and sale had not been made. And for the said considerations the entire right, title and interest in said invention or improvements, including all priority rights, and the right to claim priority rights and the privileges and benefits thereof, including those under the International Convention, and all other conventions, and the right to file applications for patent in said Assignee's own name for said invention or improvements in each and every country of the world are hereby Assigned and granted by the undersigned to said Assignee. It is further agreed by the undersigned, upon the request of said Assignee, to execute any and all documents that shall be required of the undersigned to be executed in connection with any and all applications for foreign letters patent therefor, including the prosecution thereof, and to execute any and all documents necessary to vest title in said foreign applications and patents in said Assignee. The attorneys of record in said application for patent are hereby authorized and requested by the undersigned to insert in this Assignment the date and Serial Number thereof in the places provided therefor.

R. R. A. Syms
Richard SYMS

13.01.05
Date

Eric Yeatman
Witness 13 Jan 05

216812v1

BEST AVAILABLE COPY